

Retention and Disposal Authority for Records of WorkSafe Victoria

Authority number: PROS 09/06 VAR 3



PROS 09/06 VAR 3

**Retention and Disposal Authority for Records of
WorkSafe Victoria**

Issued Date: 02/09/2019

Retention and Disposal Authority for Records of WorkSafe Victoria

Authority number: PROS 09/06 VAR 3

Variation 1

Public Records Act 1973 (Section 12)

Retention and Disposal Authority for Records of WorkSafe Victoria

In accordance with section 12 of the *Public Records Act* 1973 (as amended), I hereby vary the Standard applying to the records of WorkSafe Victoria, issued as Public Record Office Standard (PROS) 09/06 on 27/10/2009, as follows:

Class No	Description of Change
6.5.1	Records documenting plant designs. Retention period reduced from 75 years to 30 years.

Extend the application of the Authority until varied or revoked.

This Variation shall have effect from its date of issue

[signed]

Justine Heazlewood

Director and Keeper of Public Records

Date: 27/08/2015

Retention and Disposal Authority for Records of WorkSafe Victoria

Authority number: PROS 09/06 VAR 3

Variation 2

Public Records Act 1973 (Section 12)

Retention and Disposal Authority for Records of WorkSafe Victoria

In accordance with section 12 of the *Public Records Act 1973* (as amended), I hereby vary the Standard applying to the records of WorkSafe Victoria, issued as Public Record Office Standard (PROS) 09/06 on 27/10/2009, as follows:

Extend the application of the Authority until varied or revoked.

This Variation shall have effect from its date of issue.

[signed]

Justine Heazlewood

Director and Keeper of Public Records

Date: 19/11/2018

Retention and Disposal Authority for Records of WorkSafe Victoria

Authority number: PROS 09/06 VAR 3

Variation 3

Public Records Act 1973 (Section 12)

Retention & Disposal Authority for Records of WorkSafe Victoria (PROS 09/06)

In accordance with section 12 of the Public Records Act 1973 (as amended), I hereby vary the Standard applying to records of WorkSafe Victoria, issued as Public Record Office Standard (PROS 09/06) on 27/10/2009, as follows:

The addition of the following text to the scope of the RDA and across the body of the RDA as a footer:

This Retention and Disposal Authority **must not be used** for records about child sexual abuse incidents, allegations nor an agency's prevention, identification and response to such incidents and allegations. This includes records of this nature created through an agency's reporting, oversight or regulatory relationships with other agencies.

Instead **agencies must use PROS 19/08** Retention and Disposal Authority for Records of Organisational Response to Child Sexual Abuse Incidents and Allegations.

This Variation shall have effect from its date of issue.

[Signed]

Justine Heazlewood

Director and Keeper of Public Records

Date of issue: 02/09/2019

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Retention and Disposal Authority for Records of WorkSafe Victoria

Retention and Disposal Authority No	PROS 09/06 VAR 3
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Scope	<p>This RDA authorises the disposal of the core business records of the Victorian WorkCover Authority also known as Worksafe Victoria.</p> <p>This Retention and Disposal Authority must not be used for records about child sexual abuse incidents, allegations nor an agency's prevention, identification and response to such incidents and allegations. This includes records of this nature created through an agency's reporting, oversight or regulatory relationships with other agencies.</p> <p>Instead agencies must use PROS 19/08 Retention and Disposal Authority for Records of Organisational Response to Child Sexual Abuse Incidents and Allegations.</p>
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Status	Issued by Keeper
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Issue Date	02/09/2019
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Introduction

Purpose of this Authority

The purpose of this Authority is to provide a mechanism for the disposal of public records in accordance with the *Public Records Act 1973*. The Authority:

- identifies records which are worth preserving permanently as part of Victoria's archival heritage
- prevents the premature destruction of records which need to be retained for a specified period to satisfy legal, financial and other requirements of public administration, and
- authorises the destruction of those records not required permanently.

Context of this Authority

Public Record Office Victoria Standards

This Authority should be used in conjunction with the Standards issued by the Keeper of Public Records under Section 12 of the *Public Records Act 1973*. Copies of all relevant PROV standards, specifications and regulatory advice can be downloaded from www.prov.vic.gov.au. These documents set out the procedures that must be followed by Victorian public offices.

Disposal of records identified in the Authority

Disposal of public records identified in this Authority must be undertaken in accordance with the requirements of Public Record Office Standard PROS 10/13 *Disposal*.

It is a criminal offence to unlawfully destroy a public record under s 19(1) of the *Public Records Act 1973*.

The destruction of a public record is not unlawful if done in accordance with a Standard established under s 12 of the *Public Records Act 1973*.

This Standard (also known as an Authority) authorises the disposal of public records as described within its provisions. However, disposal is **not** authorised under this Standard if it is reasonably likely that the public record will be required in evidence in a current or future legal proceeding.

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For the purposes of this Retention and Disposal Authority, a 'legal proceeding' has the same meaning as the *Evidence (Miscellaneous Provisions) Act 1958*, and includes any civil, criminal or mixed proceeding and any inquiry in which evidence is or may be given before any court or person acting judicially, including a Royal Commission or Board of Inquiry under the *Inquiries Act 2014*.

If the public office identifies that public records must be retained under other applicable legislation for a period that exceeds the retention period specified under the Standards, then the longer retention period must apply.

Normal Administrative Practice

The destruction of some public records is permitted without final authorisation under normal administrative practice (NAP). NAP covers the destruction of ephemeral material of a facilitative nature created, acquired or collected by public officers during the course of their duties.

The following material may be destroyed under NAP:

- working papers consisting of rough notes and calculations used solely to assist in the preparation of other records such as correspondence, reports and statistical tabulations
- drafts not intended for retention as part of the office's records, the content of which has been reproduced and incorporated in the public office's record keeping system
- extra copies of documents and published material preserved solely for reference.

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Transfer of records to Public Record Office Victoria

Contact Public Record Office Victoria for further information on procedures for transferring permanent records to archival custody.

Use of Other Authorities

In applying the disposal sentences set out in this Authority, reference should be made to other current Authorities where applicable. Where there is a conflict between two Authorities (for instance this Authority and the General Retention and Disposal Authority for Records of Common Administrative Functions), consult the Public Record Office Victoria for advice.

Explanation of Authority Headings

Class Number

The class number or entry reference number provides citation and ease of reference.

Description

The description of each record class is specified in this entry. A record class is a group of records that relate to the same activity, function or subject and require the same disposal action.

Status

This entry provides the archival status of each class - either permanent or temporary.

Custody

This entry specifies whether the records are to be retained by the public office or transferred to the Public Record Office Victoria. Permanent records must be managed and transferred in accordance with PROV Standards.

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Concurrence of Public Office

This Authority has the concurrence of:

Signature: [signed]

Name: Greg Tweedly

Position: Chief Executive

Date: 15/09/2009

Establishment of Standard

Pursuant to Section 12 of the *Public Records Act 1973*, I hereby establish these provisions as a Standard (also known as a Retention and Disposal Authority) applying to Victorian WorkCover Authority. This standard as varied or amended from time to time, shall have effect from the date of issue unless revoked.

[signed]

Justine Heazlewood, Director and Keeper of Public Records

Date of Issue: 27/10/2009

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No	Function/Activity	Description	Status	Disposal Action
1	REGULATORY STANDARDS & GUIDELINES	<p>The development and review of standards, guidelines and codes of practice used to provide guidance, promote best practice and ensure that all legal obligations are met by employers, workers and WorkSafe Victoria service providers. Standards and guidelines include compliance codes and guidance notes which provide detailed and specific advice to those seeking to comply with WorkSafe Victoria regulations. Also includes the provision of advice relating to standards and guidelines.</p> <p>For records of the development and amendment of workplace health and safety and accident compensation legislation and regulations, use the <i>General Retention and Disposal Authority for Records of Common Administrative Functions</i>.</p>		
1.1	Standards and Guideline Development	The development of workplace health and safety standards, guidelines and codes of practice for improving workplace health and safety while reducing workplace injury and diseases.		
1.1.1		<p>Records documenting the development of standards, guidelines and codes of practice.</p> <p>Includes the development of regulatory impact statements and the development of non-statutory information including publications such as "how to" guides (Guidance Notes), alerts and associated tools. Includes summaries of consultation undertaken.</p> <p>For implementation of Occupational Health and</p>	Permanent	Retain as State archives

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Instead agencies **must use PROS 19/08** Retention and Disposal Authority for Records of Organisational Response to Child Sexual Abuse Incidents and Allegations.

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REGULATORY STANDARDS & GUIDELINES - Standards and Guideline Development

		Safety (OHS) programs see WORKPLACE HEALTH & SAFETY MANAGEMENT - Incentive and Improvement Programs.		
1.1.2		Records containing raw data and inputs gathered during the consultation process.	Temporary	Destroy 5 years after last action.
1.2	Policy and Technical Advice	The offering of opinions on OHS or accident compensation matters. For formalised statements and communications about administration of the WorkCover insurance scheme and self insurer requirements, see INSURANCE SCHEME MANAGEMENT - Insurance Advice.		
1.2.1		Provision of detailed policy or technical advice on the OHS and accident compensation regulatory framework and associated requirements.	Temporary	Destroy 10 years after last action.
1.2.2		Provision of routine advice on the OHS and accident compensation regulatory framework and associated requirements.	Temporary	Destroy 5 years after last action.
2	INJURED WORKER MANAGEMENT	The monitoring and management of medical and rehabilitation service providers and of injured workers to enable a safe and sustainable return to work for the injured worker. Includes the management of workers' compensation claims, including return to work planning,		

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No	Function/Activity	Description	Status	Disposal Action
<i>INJURED WORKER MANAGEMENT - Claim Case Management</i>				
		compensation benefit entitlements and support and the resolution of disputes. It also includes the management of Occupational Rehabilitation (OR) service providers who provide medical, rehabilitation and health services to workers.		
2.1	Claim Case Management	The assessment and management of WorkCover compensation claim cases. Includes supporting mechanisms for claim cases such as advocacy services for the injured worker. Also includes the preparation of the defence in court proceedings relating to claim cases.		
2.1.1		Records documenting claims that resulted in a change to the workers' compensation scheme or to the regulatory framework or which involved a fatality.	Permanent	Retain as State archives
2.1.2		Records documenting claims involving carcinogenic substances including asbestos, as identified on national carcinogenic schedules.	Temporary	Destroy 100 years after last action.
2.1.3		Records documenting claims where there is a significant effect on the worker and the associated costs exceeded the specified threshold but no carcinogenic substances are involved. Includes high risk claim categories involving over excess claims with time loss and no full return to work; claims involving stress / mental disorder,	Temporary	Destroy 50 years after last action.

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No	Function/Activity	Description	Status	Disposal Action
<i>INJURED WORKER MANAGEMENT - Claim Case Management</i>				
		hearing loss, heart disease or cancer; as well as claims where an impairment benefit application is received.		
2.1.4		Records documenting requests from a worker for a one off lump sum settlement payment instead of ongoing weekly compensation payments.	Temporary	Destroy 15 years after last action.
2.1.5		Records documenting expressions of interest from a worker in receiving a one off lump sum settlement payment which did not result in a final settlement as the worker decided not to proceed to accept a lump sum settlement.	Temporary	Destroy 10 years after last action.
2.1.6		Records documenting claims where there is no WorkCover payment as the amount is under the specified insurance policy excess threshold and is therefore classed as an under excess or minor claim.	Temporary	Destroy 15 years after last action.
2.1.7		Records documenting advocacy activities on behalf of a worker. Includes any support and assistance provided to the worker during the mediation process. Includes the work of bodies such as WorkCover Assist which provide support and guidance during Accident Compensation Conciliation Service processes between employers and workers.	Temporary	Destroy 15 years after last action.
2.1.8		Records documenting the inputs to the provision of a Medical Panel opinion on the medical issues of an	Temporary	Destroy 7 years after last action.

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No	Function/Activity	Description	Status	Disposal Action
<i>INJURED WORKER MANAGEMENT - Claim Case Management</i>				
		injured worker. The final determination from the Medical Panel on the worker's case should be sentenced as part of the appropriate claim case file.		
2.1.9		Records documenting the defence of claims, applications or court proceedings for compensation or damages for personal injury undertaken by legal firms on instruction from WorkSafe Victoria.	Temporary	Destroy 7 years after last action.
2.1.10		Copies of medical records (including medical records produced under subpoena or pursuant to an authority) which form part of the defence of claims, applications or court proceedings for compensation or damages for personal injury undertaken by legal firms on instruction from WorkSafe Victoria.	Temporary	Destroy 1 year after last action.
2.2	Compensation Entitlements	The management and review of a worker's entitlement to compensation. For records of litigation and legal reviews attached to this activity such as insurance recovery activities use the General Retention and Disposal Authority for Records of Common Administrative Functions. For records of the preparation of the defence in court proceedings relating to claim cases, see INJURED WORKER MANAGEMENT - Claim Case Management.		
2.2.1		Records documenting routine or minor compensation	Temporary	Destroy 7 years after

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No	Function/Activity	Description	Status	Disposal Action
<i>INJURED WORKER MANAGEMENT - Service Provider Registration and Medical Examiners Management</i>				
		entitlement reviews that did not involve any legal review or litigation. Includes reviewing of records relating to delays in claim lodgement by employers and processing of weekly benefit payments.		last action.
2.3	Service Provider Registration and Medical Examiners Management	The registration and ongoing management of healthcare professionals to provide effective treatment and advice to injured workers and to assist in the service provider payment process.		
2.3.1		Consolidated register of approved medical and allied health service providers. Includes medical, pharmacy and pain management, occupational rehabilitation and allied health providers, and providers of personal and household services.	Permanent	Retain as State archives
2.3.2		Records documenting complaints and resolution of issues relating to independent medical examiners. Includes issues relating to alleged failures to act in a professional manner during medical examinations.	Temporary	Destroy 10 years after last action.
2.3.3		Records documenting the registration of Occupational Rehabilitation (OR) service providers. Includes medical and allied health care providers such as those providing physiotherapy, aids and appliances and home help.	Temporary	Destroy 15 years after last action.

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Instead agencies **must use PROS 19/08** Retention and Disposal Authority for Records of Organisational Response to Child Sexual Abuse Incidents and Allegations.

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No	Function/Activity	Description	Status	Disposal Action
<i>INJURED WORKER MANAGEMENT - Service Provider Registration and Medical Examiners Management</i>				
2.3.4		Records documenting unsuccessful applications for Occupational Rehabilitation (OR) service provider registration.	Temporary	Destroy 2 years after last action.
3	INSURANCE SCHEME MANAGEMENT	The management of the workers' compensation insurance scheme (WorkCover). Includes the appointment, management and monitoring of contracted Authorised Insurer Agents to issue and administer insurance policies and the authorisation and monitoring of Self Insurers who have opted out of the worker's compensation scheme as they provide their own insurance coverage against workplace injuries. Includes WorkCover insurance scheme premium management and collections to ensure the funding viability of the insurance scheme. <i>For Insurer Agent tenders and contracts, use the General Retention and Disposal Authority for Records of Common Administrative Functions.</i>		
3.1	Insurance Advice	The offering of advice on the insurance scheme through the provision of formalised statements and communications to Authorised Insurer Agents or Self Insurers.		
3.1.1		Records documenting the receipt of advice from stakeholder groups and the provision of advice to the government and stakeholder groups about the insurance scheme.	Temporary	Destroy 15 years after last action.

This Retention and Disposal Authority **must not be used** for records about child sexual abuse incidents, allegations nor an agency's prevention, identification and response to such incidents and allegations. This includes records of this nature created through an agency's reporting, oversight or regulatory relationships with other agencies.

Instead agencies **must use PROS 19/08** Retention and Disposal Authority for Records of Organisational Response to Child Sexual Abuse Incidents and Allegations.

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No	Function/Activity	Description	Status	Disposal Action
<i>INSURANCE SCHEME MANAGEMENT - Insurance Advice</i>				
3.1.2		Records documenting communications with Authorised or Self Insurers on insurer operational issues and requirements. For records relating to premium issues, see INSURANCE SCHEME MANAGEMENT - Employer Premium Insurance Management.	Temporary	Destroy 10 years after last action.
3.2	Employer Premium Insurance Management	The collection and registration of employer WorkCover insurance payments (also known as premium payments). Includes enquiries and complaints about increases to an employer's premium payment rate or their industry classification. For the development of insurance premium rate models, see INSURANCE SCHEME MANAGEMENT - Insurance Research (Modelling). For accounting records such as premium batch payments, use the <i>General Retention and Disposal Authority for Records of Common Administrative Functions</i> .		
3.2.1		Records documenting premium policy rulings which clarify the interpretation and the application of the relevant legislation and premium determinations.	Permanent	Retain as State archives
3.2.2		Records documenting the determination of employer insurance premiums, also known as employer	Temporary	Destroy 15 years after last action.

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No	Function/Activity	Description	Status	Disposal Action
<i>INSURANCE SCHEME MANAGEMENT - Employer Premium Insurance Management</i>				
		remuneration registration. Includes the issue of premium certificates and insurance policies to an individual employer.		
3.2.3		Records relating to improving premium compliance amongst employers. Includes employer awareness programs and projects.	Temporary	Destroy 15 years after last action.
3.2.4		Records relating to audits of an employer or agent to ensure compliance with premium requirements. Includes employer remuneration audits.	Temporary	Destroy 15 years after last action.
3.2.5		Records documenting enquiries or objections to an individual insurance premium payment assessment. Includes enquiries and complaints by employers about their industry rate or industry classification, and enquiries about penalty and refund payment issues.	Temporary	Destroy 7 years after last action.
3.2.6		Records documenting the premium process where a form was submitted but not required.	Temporary	Destroy 6 months after last action.
3.3	Insurance Research (Modelling)	The design and evaluation of models that project future claim and operational costs to test and support the sustainability of the insurance scheme. The modelling process includes the development of sample models to analyse premium calculations and associated cost structures to ensure that any future		

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No	Function/Activity	Description	Status	Disposal Action
<i>INSURANCE SCHEME MANAGEMENT - Insurance Research (Modelling)</i>				
		change does not have a negative impact on the competitiveness nor financial viability of the WorkCover insurance scheme.		
3.3.1		Records documenting the development of premium models including the Premium Orders which set the premium calculation method for the year. The Premium Orders are the detailed descriptions of each industry classification which is used in part to establish the premium rate an employer will pay for a WorkCover insurance policy. Includes industry group analysis.	Permanent	Retain as State archives
3.3.2		Records relating to the routine analysis and monitoring of insurance claims and premium costs for individual stakeholders or industry groups to ensure the effectiveness of a particular insurance model.	Temporary	Destroy 10 years after last action.
3.4	Insurance Performance Management	The monitoring of the insurance scheme performance. Includes assessing the performance of Authorised Agents against contracted conditions.		
3.4.1		Records documenting the development of performance targets for Authorised Insurance Agents and Self Insurers. Also includes high level performance management reports which monitor and map the schemes performance against set criteria.	Permanent	Retain as State archives

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No	Function/Activity	Description	Status	Disposal Action
<i>INSURANCE SCHEME MANAGEMENT - Insurance Performance Management</i>				
3.4.2		Records documenting performance monitoring and management of non-performance issues for individual Authorised Agents. For records of failures to meet performance requirements which become a contractual issue, use the <i>General Retention and Disposal Authority for Records of Common Administrative Functions</i> .	Temporary	Destroy 10 years after last action.
3.5	Self Insurer Management	The management of Self Insurers who have opted out of the workers compensation scheme as they provide their own insurance coverage against workplace injuries. Includes the assessment of new applications and the renewal, cancellation, refusal or suspension of a Self Insurers approval as well as ongoing review of Self Insurers against approval requirements.		
3.5.1		Records documenting the granting of an approval to become a WorkCover Self Insurer. Also includes records of ongoing monitoring and renewal and records of any cancellation, refusal or suspension.	Temporary	Destroy 7 years after approval expires.
3.5.2		Records documenting organisations that did not meet the first stage eligibility requirements to become a Self Insurer.	Temporary	Destroy 5 years after last action.
4	INVESTIGATION & PROSECUTION	The investigation and prosecution of breaches of OHS and Accident Compensation laws to achieve safer workplaces and improve the effectiveness of the		

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No	Function/Activity	Description	Status	Disposal Action
<i>INVESTIGATION & PROSECUTION MANAGEMENT - Authorisation</i>				
	MANAGEMENT	insurance scheme. It includes the investigation of OHS incidents and alleged offences, and conducting of prosecutions of offences under the OHS and Accident Compensation Acts and associated Regulations. Includes prosecution for fraud, misconduct, benefit offences and premium evasion as well as OHS breaches. Also includes statutory delegations and the authorisation of inspectors and investigators for the management of these investigations.		
4.1	Authorisation	The statutory delegation of power and authorisation of WorkSafe Victoria employees to undertake inspections, gather information, taking possession of items and reviewing or issuing instructions such as Provisional Improvement Notices or Prohibition Notices.		
4.1.1		Records documenting the delegation of authority to WorkSafe Victoria employees to act as inspectors or investigators. Includes Instrument of authorisation/delegation.	Temporary	Destroy 25 years after inspector has ceased in the role of inspector.
4.1.2		Records relating to the ongoing competency assessment of WorkSafe Victoria employees as inspectors and investigators.	Temporary	Destroy 25 years after last action.
4.2	Investigation	The conducting of an OHS or WorkCover investigation to establish if a particular issue or case		

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No	Function/Activity	Description	Status	Disposal Action
<i>INVESTIGATION & PROSECUTION MANAGEMENT - Investigation</i>				
		warrants undertaking a prosecution. For records of investigation activities undertaken where a fatality is involved, see INVESTIGATION AND PROSECUTION - Prosecution.		
4.2.1		Records documenting investigation activities undertaken to establish whether or not there is a need for prosecution. Includes records gathered by private investigators if they were used as part of the investigation. For records gathered by private investigators that were not used in an investigation, see class 4.2.3.	Temporary	Destroy 15 years after last action.
4.2.2		Records documenting the management of incidents which did not result in an investigation. Includes incident notifications and reports of unsafe work practices (also known as service requests).	Temporary	Destroy 7 years after last action.
4.2.3		Records created by private investigators which are not subsequently used as part of an investigation for possible prosecution. May include investigator reports and surveillance records such as photographs, digital images, audio tapes and audio files which were not pertinent.	Temporary	Destroy 7 years after conclusion of the investigation.
4.3	Prosecution	Legal action taken when an investigation has identified a breach of the legislation or regulations		

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Retention and Disposal Authority for Records of WorkSafe Victoria

Authority number: PROS 09/06 VAR 3

No	Function/Activity	Description	Status	Disposal Action
<i>INVESTIGATION & PROSECUTION MANAGEMENT - Prosecution</i>				
		governing WorkSafe Victoria. For records relating to litigation, use <i>the General Retention and Disposal Authority for Records of Common Administrative Functions</i> or see INJURED WORKER MANAGEMENT - Claim Case Management.		
4.3.1		Summary register of all prosecutions or litigation cases undertaken.	Permanent	Retain as State archives
4.3.2		Records documenting prosecutions relating to workplace fatalities or where a legal precedent was set or that caused a major change to the OHS framework, compensation scheme or related high level policies.	Permanent	Retain as State archives
4.3.3		Records documenting prosecutions that did not relate to workplace fatalities, that did not set a legal precedent or lead to a major change to the OHS framework or the compensation scheme or related high level policies.	Temporary	Destroy 15 years after last action.
5	WORKPLACE HEALTH & SAFETY MANAGEMENT	The regulation and monitoring of individual work sites and industries to ensure compliance with regulatory requirements, assist in the prevention of injury or incidents and to promote and improve standards of workplace health and safety. Includes activities associated with inspecting work sites, encouraging compliance with workplace health and safety legislation and compelling OHS duty		

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Retention and Disposal Authority for Records of WorkSafe Victoria

Authority number: PROS 09/06 VAR 3

No	Function/Activity	Description	Status	Disposal Action
<i>WORKPLACE HEALTH & SAFETY MANAGEMENT - Incentive and Improvement Programs</i>				
		holders to act when a breach is identified.		
5.1	Incentive and Improvement Programs	The development and implementation of programs used to promote and improve awareness amongst employers and workers of workplace health, safety and welfare issues with the aim of reducing the occurrence of incidents, injury and illness.		
5.1.1		Records documenting the development, implementation and effectiveness of major OHS improvement, awareness or educational campaigns and programs.	Permanent	Retain as State archives
5.1.2		Records documenting the development, implementation and effectiveness of minor OHS improvement, awareness or educational campaigns and programs. Includes liaison with individual groups aimed at reducing risks and promoting safety within a stakeholder or targeted employee/employer group.	Temporary	Destroy 10 years after last action.
5.1.3		Records relating to the development of an appropriate methodology for the assessment of award schemes for the recognition of best or leading practice OHS initiatives.	Permanent	Retain as State archives
5.1.4		Records relating to successful applications for WorkSafe Victoria's awards which document best or leading practice within a given industry.	Temporary	Destroy 20 years after last action.

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Retention and Disposal Authority for Records of WorkSafe Victoria

Authority number: PROS 09/06 VAR 3

No	Function/Activity	Description	Status	Disposal Action
<i>WORKPLACE HEALTH & SAFETY MANAGEMENT - Incentive and Improvement Programs</i>				
		For records relating to the arrangements and holding of awards ceremonies, campaign launches, grants and funding, use the <i>General Retention and Disposal Authority for Records of Common Administrative Functions</i> .		
5.1.5		Records relating to unsuccessful applications and/or assessments for WorkSafe Victoria's awards.	Temporary	Destroy 5 years after last action.
5.2	Inspections	The official examination of workplace activities and equipment, and the encouragement of appropriate workplace practices to ensure compliance with WorkSafe Victoria's legislative and regulatory requirements. Includes workplace audit inspections. For records of site inspections where an incident is determined to have occurred or a further investigation is undertaken, see INVESTIGATIONS AND PROSECUTIONS MANAGEMENT - Investigation.		
5.2.1		Records relating to the development, implementation, monitoring and reviewing of targeted OHS compliance programs, projects or initiatives aimed at addressing particular identified health and safety risks via an inspection based program. For records relating to awareness, incentive and educational campaigns, see WORKPLACE HEALTH &	Temporary	Destroy 15 years after last action.

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Retention and Disposal Authority for Records of WorkSafe Victoria

Authority number: PROS 09/06 VAR 3

No	Function/Activity	Description	Status	Disposal Action
<i>WORKPLACE HEALTH & SAFETY MANAGEMENT - Inspections</i>				
		SAFETY MANAGEMENT - Incentive and Improvement Programs.		
5.2.2		Records documenting individual site and property inspections undertaken by WorkSafe Victoria as well as any other ongoing liaison with the site. Includes follow up inspections of incidents, and site audits arising out of targeted improvement and intervention or prevention programs including Performance Improvement Programs (PIP) or Health and Safety Management systems audits. Also includes responses to conditions or issues requiring inspections, as well as responses to alleged bullying, harassment or occupational violence incidents.	Temporary	Destroy 15 years after last action.
5.2.3		Records documenting objections and appeals against decisions made as a result of an inspection. Includes objections lodged under the Internal Review process and objections to a written requirement to remedy a breach or possible OHS breach. Includes Provisional Improvement Notices (PIN) or Prohibition Notices (cessation of work until issue is rectified).	Temporary	Destroy 15 years after last action.
5.2.4		Records relating to request for comments by other government agencies who issue licences or approvals which may be subject to OHS requirements. Includes work plan assessments.	Temporary	Destroy 15 years after last action.

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Retention and Disposal Authority for Records of WorkSafe Victoria

Authority number: PROS 09/06 VAR 3

No	Function/Activity	Description	Status	Disposal Action
<i>WORKPLACE HEALTH & SAFETY MANAGEMENT - Training</i>				
5.3	Training	<p>The development and provision of workplace health and safety education and training programs as required by legislation. Training activities include approval of training service providers, workplace health and safety course design and materials, and the development of internal training courses such as workplace inspector skills program.</p> <p>For legacy activities involving the management of competency certification of plant users and operators, see OHS WORKPLACE LICENSING AND REGISTRATION.</p> <p>For records relating to training conferences and forums, use the <i>General Retention and Disposal Authority for Records of Common Administrative Functions</i>.</p>		
5.3.1		<p>Records relating to the development and implementation of training standards and outcomes for OHS training programs.</p> <p>Includes stakeholder consultation and acceptance of changes to learning outcomes.</p>	Permanent	Retain as State archives
5.3.2		WorkSafe Victoria approval and re-approval of external OHS training courses.	Temporary	Destroy 10 years after last action.
5.3.3		Audits of approved OHS training courses to ensure that the content of the course has remained the	Temporary	Destroy 7 years after action completed.

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Retention and Disposal Authority for Records of WorkSafe Victoria

Authority number: PROS 09/06 VAR 3

No	Function/Activity	Description	Status	Disposal Action
<i>OHS WORKPLACE LICENSING & REGISTRATION</i>				
		same as the original approved course.		
6	OHS WORKPLACE LICENSING & REGISTRATION	The licensing of suitably competent individuals and companies to operate or use equipment in potentially dangerous or hazardous environments and the notification of intention to perform high risk work. Includes the licensing of mines, Major Hazard facilities and individual users and operators of plant and equipment. Also includes registration of plant and health monitoring of those exposed to hazards.		
6.1	Hazard Management	The control of hazardous substances in the workplace and the monitoring of the health of those exposed to hazardous substances and practices.		
6.1.1		Records documenting the licensing of carcinogenic substances, as identified on national carcinogenic schedules. Also includes the licensing of asbestos removalists and asbestos removal notifications.	Temporary	Destroy 100 years after last action.
6.1.2		Records documenting the health monitoring of individual workers exposed to substances or practices that may impact upon health. Includes medical examination and test results.	Temporary	Destroy 100 years after last action.
6.1.3		Records documenting activities to ensure medical tests are undertaken. Includes test arrangements and bookings.	Temporary	Destroy 2 years after last action.

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Retention and Disposal Authority for Records of WorkSafe Victoria

Authority number: PROS 09/06 VAR 3

No	Function/Activity	Description	Status	Disposal Action
<i>OHS WORKPLACE LICENSING & REGISTRATION - Management of Plant and Equipment Users</i>				
6.2	Management of Plant and Equipment Users	<p>The licensing of plant and equipment users and operators to perform or operate in high risk environments. Includes legacy activities involving the management of competency certification of plant users and operators.</p> <p>For licensing of Major Hazard Facility sites, see Major Hazard Facility Management.</p> <p>For asbestos removalist licenses and asbestos notifications, see Hazard Management.</p>		
6.2.1		Records relating to Safety Induction cards (Construction Induction cards) which are a requirement to enter or work in a construction site to indicate that the holder has completed a basic workplace safety induction.	Temporary	Destroy 50 years after issue.
6.2.2		<p>Records documenting the licensing of individuals to perform high risk work including the use of pressure equipment, scaffolding and rigging, forklifts, cranes and hoists.</p> <p>Includes licensing for the transportation, storage and handling of dangerous goods such as explosives and High Consequence Dangerous Goods, that is, those that pose a security concern.</p> <p>Also includes records documenting precursors to licensing such as certification for plant and operators and records documenting authorisation to carry out</p>	Temporary	Destroy 4 years after expiry of license.

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Retention and Disposal Authority for Records of WorkSafe Victoria

Authority number: PROS 09/06 VAR 3

No	Function/Activity	Description	Status	Disposal Action
<i>OHS WORKPLACE LICENSING & REGISTRATION - Notification Assessment</i>				
		assessments.		
6.3	Notification Assessment	The receipt and assessment of notifications of intention to perform high risk work.		
6.3.1		Records documenting notifications relating to the intention to perform high risk work. Includes notifications to perform the following types of work activities: scaffolding, digging of trenches, shafts, tunnels or other excavation activities, installation of a lift in a domestic premise, construction of protected works at approved explosives berths intention to discharge fireworks, or storage of dangerous goods in a workplace.	Temporary	Destroy 1 year after last action.
6.4	Major Hazard Facility Management	The notification, registration and licensing of Major Hazard Facilities where an incident can be catastrophic for the workers, the community and the environment.		
6.4.1		Records relating to the licensing of a Major Hazard Facility which is above the major hazardous substance threshold found in the OHS Regulations. Includes the Safety Cases lodged as part of the license application.	Temporary	Destroy 12 years after expiry of license.
6.4.2		Records relating to registration of a Major Hazard Facility which is below the major hazard substance threshold found in the OHS Regulations. Includes the	Temporary	Destroy 10 years after last action.

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Retention and Disposal Authority for Records of WorkSafe Victoria

Authority number: PROS 09/06 VAR 3

No	Function/Activity	Description	Status	Disposal Action
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OHS WORKPLACE LICENSING & REGISTRATION - Major Hazard Facility Management

		initial notification of the intention to build, modify or extend a Major Hazard Facility and any subsequent monitoring activities for the site.		
6.4.3		Records relating to Major Hazard Facilities that did not meet licence requirements and were not approved.	Temporary	Destroy 3 years after last action.
6.5	Plant Design and Registration	The registration of any machinery or equipment which is categorised as being a high risk to the worker (known as high risk plant). Includes Plant Design Notifications (plant design drawings) and Plant Registration (use of plant within the workplace).		
6.5.1		Records documenting the registration of Plant Designs. Includes the design drawings for plant that have been identified as historical (referring to those which existed pre-regulation) which may result in an increased health risk to workers and the general public as they are still in use.	Temporary	Destroy 30 years after last action.
6.5.2		Records documenting the registration of the use of a high risk plant within the workplace.	Temporary	Destroy 2 years after registration expires.
6.6	Transport and Handling Design Approvals	The approval of road tank vehicle designs for dangerous goods tankers and for dangerous goods packaging design.		

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Retention and Disposal Authority for Records of WorkSafe Victoria

Authority number: PROS 09/06 VAR 3

No	Function/Activity	Description	Status	Disposal Action
<i>OHS WORKPLACE LICENSING & REGISTRATION - Transport and Handling Design Approvals</i>				
6.6.1		Summary register of approvals for dangerous goods packaging designs or road tank vehicle designs.	Permanent	Retain as State archives
6.6.2		Records documenting the approval of dangerous goods packaging designs.	Temporary	Destroy 30 years after last action.
6.6.3		Records documenting the approval of road tank vehicle designs.	Temporary	Destroy 30 years after last action.

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